

Arizona State Parks

FY 2009 Grant Rating Criteria Manual

State Lake Improvement Fund

(For projects on waters where gasoline powered boats are permitted)

(See Instructions/Forms Manual)

Application Deadline

Applications must be received at:

Arizona State Parks
Partnership Division
Grants Section
1300 W. Washington
Phoenix, AZ 85007

No later than:

Friday, January 30, 2009

By 5:00 p.m.

This manual supersedes all previous manuals.



Grant Rating Process

Each grant application is rated based on the following process:

- The rating team is established after applications are received and reviewed for eligibility and usually consists of 3-4 individuals. One is the grant program coordinator, one is a coordinator from another grant program, and the third team member is normally an individual outside the Grant section, but within State Parks.
- The rating team meets after the June AORCC meeting. At this meeting, the team discusses how grants will be rated for the current grant cycle. The grants are not always rated consistently from year to year, but are rated consistently within each cycle.
- Each team member receives a copy of each eligible application and reads and rates each application on their own.
- On the date established by the team at its first meeting, the team reconvenes and each application is reviewed, discussed, and consensus is reached on a final score.
- The applications are then ranked by score, from the highest score down, and depending on funds available for that grant cycle, recommendations are made to AORCC at the August meeting.
- If AORCC has a different recommendation than the staff recommendation, both recommendations are presented to the Parks Board at their September meeting, and the Parks Board then takes final action.

Rating Criteria Instructions

The grant application is rated based on the how well you respond to each criterion and how well the documentation supports your response. Below are suggestions on how to address the rating criteria.

- Each criteria must be addressed in the order shown. State the criterion and the answer. Do not answer all the criteria in one paragraph.
- Make your responses brief, clear and concise. Points are based on the quality of the answer, not the length of the answer.
- Refer to your documentation by page number (earlier instructions were to number all the pages in consecutive order). Points may not be awarded if the documentation is not referenced by page number in the narrative. (Example: Exhibit A, pg. 2)
- Do not send the entire document you are referring to, only the cover page from the document and the relevant pages from the document. Highlight the referenced areas – the rating team will not read the entire document to see if the information is there. Points may not be awarded if areas of interest are not highlighted.
- If a criterion is not applicable to your project, identify the criterion and write “not applicable”. Be aware that points will not be awarded if the notation “not applicable” is written in place of narrative.
- If you have questions, you can contact me at 602/542-7160 or by e-mail at dsilvas@azstateparks.gov

Documentation:

A listing of the types of supporting documentation is listed on page 6. You may use the same documents in each applicable criterion. Be sure to refer to the documentation by page number in the each narrative.

Types of Supporting Documentation

The following documents may be used as support for any of the criteria. Be sure to reference the documentation by page number in the narrative.

Provide attachments only of the document cover and the specific pages of the document(s) you referenced that directly relate to your answers. To receive points for any of the criteria you must provide documentation and refer to that documentation in your narrative.

- an adopted comprehensive plan, general plan or recreation master plan which supports the proposed project
- an approved long-range comprehensive land use/management plan which supports the proposed project
- documentation of the completed NEPA process (projects involving federal moneys/lands)
- regional or statewide recreation plans in support of the proposed project
- site or project-specific plan
- notes/minutes and decisions from internal agency or interagency meetings that directly relate to the proposed project (show when, where, what was discussed/decided, and who attended)
- a bond action which supports the proposed project
- public involvement research tools such as needs assessments, statistically valid surveys, questionnaires, and focus groups which support the proposed project
- documented approval of the proposed project (such as by a citizen's advisory committee, city or town council, the tribal council or board of supervisors decisions)
- documented local support of the proposed project (such as informal survey results, letters of support, citizens speaking at public meetings, citizen petitions, etc.)
- documentation of any public involvement activities with the proposed project (such as public meeting notices/agendas, attendance rosters, and/or minutes of public meetings, special events, volunteer projects)
- public involvement and project support documented by local media (such as newspaper articles)
- documented organizational support of the proposed project (show that organizations have been contacted, involved and endorsed the project)
- an adopted capital improvement budget in support of the proposed project expenditures
- Executive Orders/National Directives addressing lake management

Equipment Documentation Examples

In addition to the above, other planning and public involvement documentation that might be provided to support an equipment need could include one or more of the following:

- Incident reports/statistics/citations
- Repair history of existing equipment (downtime)
- Boater surveys that address law enforcement and safety issues
- Number of incidents that you were unable to respond to or needed to defer to other agencies due to equipment deficiency
- Professional standards for ratio of patrol boats to boaters
- Industry standards for life expectancy of boats (if replacing existing equipment)

If you met with other agencies or members of the public to determine equipment needs in your area or if your planning meetings were internal, provide a brief narrative of the meetings.

Project Rating Criteria

A large portion of the rating criteria requires a narrative response prepared by the applicant. Please be concise and clear in each narrative description. Excessive narrative descriptions are not necessary. Please limit responses to questions to 300 words or less.

If you have any questions regarding the narrative preparation, contact ASP staff. Information provided in this narrative will be used by the rating team to evaluate and score each application.

An application may receive 100 points maximum for the entire project rating criteria in the following three sections:

Section I:	LOCAL CRITERIA	45 points
Section II:	STATEWIDE CRITERIA	45 points
Section III:	ADMINISTRATIVE CRITERIA	10 points

A DRAFT of the project criteria can be sent to the program coordinator for review no later than two weeks prior to the deadline.

Section I. Local Criteria

Total of 45 points possible for this section.

Points for this criterion will be based on your explanation **and** documentation for each bullet point. Responses should be brief and to the point, preferable 200 words or less. Documentation points will be awarded only if the supporting documents are clearly explained/cited in the narrative.

This section measures the local need and support for the specific project, several aspects of project planning, and issues related to public/community involvement and support.

Applicants should develop proposals that meet the high priority needs of local and/or statewide recreation users. The assessment of these needs should be based upon coordinated, long-range planning and public involvement efforts as well as site-specific plans. The explanation and documentation provided by the applicant must demonstrate that the proposed project is based upon conscientious planning and decision-making processes.

Tell us why this project is a priority for you now by explaining and documenting each of the following:

1. Project Purpose

0 to 20 points

Describe the project specific planning efforts that show the need, priority and public support for this particular project.

Respond to this question by explaining and documenting:

- Why this project is needed.
- Why this project is a priority to your organization compared to other projects.
- How the public has shown support for this project.
- Pursuant to A.R.S. 5-382, SLIF funding is for projects on waters where gasoline powered boats are permitted. Explain the type of boating that will be allowed on the project waterways.

The next two criteria assess how the applicant's long-range comprehensive plan addresses the water-based recreation needs and priorities and how public involvement and support are solicited and incorporated in the planning process. A comprehensive plan may include general plans, land management plans, strategic plans and any other types of long-range plans.

2. Long Range Planning

0 to 25 points (MAX)

A. Comprehensive Planning

0 to 10 points

Describe the comprehensive long-range plan or general plan that addresses water-based recreation needs.

Respond to this question by describing and documenting:

- The type of comprehensive plan or general plan.
 - Identify your (or governing county) plan, when it was adopted.
 - *Example of docs; resolution, cover pages of plan, meeting agenda/minutes.*
- What are the water-based recreation needs identified in the comprehensive plan?

B. Public Involvement

0 to 15 points

Describe the public involvement efforts that focus specifically on the needs and priorities for water-based recreation. Also discuss the public support for these needs and priorities. As it is identified in A. Comprehensive Planning.

Respond to this question by describing and documenting:

- *Opportunities for public input* for the water-based recreation component of the comprehensive long-range plan or general plan.
- How has the *public shown support* for the water-based recreation component of the comprehensive long-range plan or general plan.

Section II. Statewide Criteria

Total of 45 points possible for this section

Projects for Existing Lakes and Rivers

If the application proposes improvements to an existing lake, use the following four criteria. Staff will complete items A through C, the applicant must provide information for item D.

	<u>Points Available</u>
A. County Boat Use Days Per Year	12
B. Statewide Needs	15
C. Matching Funds and Requested Grant Amount	8
D. Renovation Projects	10

OR

Projects for Design and Construction of a New Lake (see page 11)

If the application proposes the study or construction of a new lake, use the following three criteria. The applicant must provide information for A-1 and B-1, staff will complete C-1. A new lake is defined as a construction project to create a lake of a minimum of 100 surface acres. The same scope of work may include lake facilities, such as boat ramps and restrooms. The 20% cap (of total available revenue) per entity policy does not apply to a new lake project.

	<u>Points Available</u>
A-1. Expected Boating Use	15
B-1. Feasibility or Design and Construction of a New Lake	20
C-1. Matching Funds	10

NOTE: ANSWER ONLY ONE SET OF THE ABOVE PROJECT RATING CRITERIA TYPES. Projects on existing or new lakes or rivers must be for recreational boating use.

Projects for Existing Lakes and Rivers

A. County Boat Use Days Per Year**0 to 12 points**

Points will be given to projects within counties serving the largest number of boaters according to the following table. County Boat Use Days Per Year is determined from the most recent (2006) Arizona Watercraft Survey. Staff will determine the points for County Boat Use Days Per Year from the table below.

Table 1. County Boat Use Days Per Year

<i>County</i>	<i>Boat Use Days Per Year</i>	<i>Points</i>
Mohave	Greater than 25%	12
Maricopa	8% to 25%	8
La Paz		
Coconino		
Gila	2% to 7.9%	6
Yuma		
Apache	Less than 2%	4
Santa Cruz		
Cochise		
Navajo		
Pinal		
Graham		
Pima		
Yavapai		
Greenlee		

B. Statewide Needs**0 to 15 points**

Applicants will receive points if the project satisfies needs of statewide significance as determined by the most recent (2006) Arizona Watercraft Survey. In this survey, boaters responded to the question: "What are the most needed water-based recreational facilities and services?" Applicants will be awarded points according to the following table that outlines the top five statewide needs. The maximum that can be awarded is 15 points.

Table 2. Statewide Needs List

<i>Statewide Needs</i>	<i>Points</i>
Launching Ramps	10
Public Restrooms	10
Marinas	7
Campgrounds	6
Safety/Law Enforcement Enhancements*: <ul style="list-style-type: none">• Colorado River• Salt/Verde/Agua Fria River• All Other Rivers and Lakes	15 13 12
Parking Facilities, Courtesy Docks	5

**NOTE: Points for Safety/Law Enforcement Enhancements will be awarded based on the river system within which your project is located. Safety/Law Enforcement Enhancements are limited to: water safety facilities, marking buoys, and watercraft ("watercraft" includes only boat, trailer, motor, radios, lights, and first aid).*

C. Matching Funds and Requested Grant Amount

0 to 8 points

Staff will assign points for this question by using the matrix below. Staff will obtain the information to evaluate this question from the Certified Grant Application and the Resolution.

Matching Funds

Demonstrate any commitments of funds, materials, or services either from your own resources or through partnerships involving public and/or private entities. Matching funds must be documented on the certified resolution and for donations, a letter of commitment from the donor in order to qualify for points. Documented work associated with the project and completed by the applicant before the grant application, such as design and engineering costs, is eligible for points.

To be considered as a match, funds must be allocated to eligible project scope items according to the program guidelines, and must be utilized within the approved project period (except approved pre-agreement design and engineering costs). Operation and maintenance costs are not eligible scope items and will not be considered as match.

If design and engineering will be completed by the applicant's internal staff, the costs will be considered as a source of matching funds, but these costs will not be eligible for reimbursement. Design and engineering work that is contracted out will be eligible for reimbursement.

Requested Grant Amount

More points will be given to applications requesting a smaller grant. Applicants requesting a larger grant must provide a match in order to receive more points. Points are awarded using the matrix below based on the total project cost and the percent match. This criterion encourages applicants to request only those scope items that are necessary to the project and can be accomplished within the two or three year time frame of the grant. This allows for a "phased" approach to projects and reduces the number of time extensions requested by grantees. However, "phased" projects are not guaranteed funding in future years. This strategy may allow more projects to be funded within a given cycle.

<i>Total Project Cost</i>						
Percent Match		\$0 – \$250,000	\$250,001- \$500,000	\$500,001 – \$750,000	\$750,001- \$1 million	> \$ 1 million
	0 – 10%	8	6	4	2	0
	11 – 25%	8	6	5	3	2
	26 – 35%	8	7	6	5	4
	36- 45%	8	7	7	6	6
	>45%	8	8	8	8	8

D. Renovation Projects

0 to 10 points

Points will be awarded to renovation projects for existing facilities. Renovation is defined as redesigning, reconstruction, non-routine maintenance, or relocation of facilities to benefit the natural environment. Other reasons for renovation may include erosion and deterioration, improper original alignment, improper design, safety-related issues due to hazardous conditions, and natural disasters. Renovation points will not be awarded if the facility's deterioration is due to inadequate maintenance during the reasonable life of the facility.

Briefly explain why this is a renovation project and **list each scope item and the dollar amount associated** with the scope item proposed for renovation. State the age and condition of the facilities to be renovated. *Boat replacement is considered renovation.*

Renovation points will be awarded in the following manner:

If renovation comprises	1 - 25% of total project cost -	6 points
	26 - 50% of total project cost -	8 points
	51 - 100% of total project cost -	10 points

OR COMPLETE A-1 and B-1. Staff will complete C-1.

Projects for Design and Construction of a New Lake

If the application proposes a study or design and construction of a new lake, please complete criteria A-1 and B-1. Staff will complete C-1. Projects for new lakes must be for recreational boating use.

A new lake is defined as a construction project to create a new lake of a minimum of 100 surface acres. The same scope of work may include lake facilities, such as boat ramps and restrooms. The 20% cap (of total available revenue) per entity does not apply to a new lake project, if a grant is awarded.

A-1. Expected Boating Use for a New Lake 0 to 15 points

Discuss the expected annual boating use and explain the rationale for the estimate based on your plans for the new lake.

Boat Use Days refers to the number of boats that use the water resource each day during a one year period (i.e., the same boat may be used on the lake each day for 14 days and would account for one boat use day X 14 = 14 Boat Use Days; or 100 boats each day for 14 days = 1,400 Boat Use Days).

Points are awarded based on the table below relating to the number of boats projected to use the lake annually and on the narrative that justifies the projected usage.

<i>Expected Boat Use Days/Year</i>	<i>Points</i>
> 200,000	15
150,000 to 199,999	12
100,000 to 149,000	9
50,000 to 99,999	6
10,000 to 49,999	3
< 10,000	0

B-1. Conduct a Feasibility Study 0 to 20 points

OR

Design and Construction of a New Lake

Feasibility Study

20 points

A feasibility study addresses the technical and economic viability of the project to determine if the proposed site is suitable for the construction of a new lake.

Briefly state the implementation plans for the new lake (assume the feasibility study indicates favorable support for the project). This response will not be scored, but will provide relevant information for staff. Staff will assign 20 points for this criterion.

OR

Design and Construction of a New Lake

0 to 20 points

If the application is for the design, engineering, and construction of a new recreational boating lake, an engineering feasibility study that supports the construction of the lake must be completed. Briefly discuss and include a copy of relevant pages from the study which states the conclusions and components of the feasibility study, the date, and author of the study. Proposed projects without completion of a favorable feasibility study are not eligible for a SLIF grant.

Eligible scope items include: design, engineering, and construction plans; construction of a new dam and lake; boating amenities; and land acquisition for access to waters where boating is permitted. All projects must include development of boating facilities to enable boat access and use of the lake. The minimum size for new lake construction is 100 surface acres. Proposed lakes less than 100 surface acres are not eligible.

Five points will be awarded for each criterion below based on complete and detailed descriptions. Please limit your response to no more than one page for each criterion.

1. Discuss the assurance of water resources available for initial filling of the lake and annual water supply.
2. Discuss the Operation and Maintenance plan and budget for the first five years of public use.
3. Discuss all relevant permits and/or clearances and assessments, such as Section 404 permits, development permits, environmental assessments, and archaeological clearances. Pre-application meetings with the appropriate agencies are encouraged. Discuss the strategy to obtain all such permits and/or clearances and assessments before project construction begins.
4. Describe how the requested scope items will be accomplished and submit the timetable for completion of each item (See Estimated Project Cost Sheet and Cost Breakdown, pages 34-37, Instruction/Forms Manual), including all sources of revenue and labor required to complete the scope of work.

If the application is submitted without the above items completed, the application will be deemed ineligible.

C-1. Matching Funds for Design and/or Construction of New Lake 0 to 10 points

Note: Staff will obtain the information to evaluate this criterion from the Certified Application Form, the Applicant Resolution, and for donated match, from letters of commitment.

Demonstrate any commitments of funds, materials, or services either from your own resources or through partnerships involving public and/or private entities. Matching funds must be documented on the certified resolution and for donations, a letter of commitment in order to qualify for points. Work associated with the project that was completed by the applicant before submittal of the grant application is eligible for points. Costs for design and engineering conducted by the applicant's internal staff will be considered as matching funds but will not be eligible for reimbursement if the grant is awarded.

To be considered as a match, funds must be allocated to eligible project scope items according to the program guidelines, and must be utilized within the approved project period (except approved pre-agreement design and engineering costs).

Points are determined by the formula below, which awards maximum points if the applicant can provide 75% of the project cost. Staff will calculate the appropriate points. The maximum that can be awarded is 10 points.

Example:
$$\frac{\text{Matching contribution value } (\$300,000)}{\text{Total Project Cost } (\$400,000)} = (.75 \times 13.34) = 10 \text{ points}$$

Section III. Administrative Criteria Total of 10 points possible for this section.

This section will be completed by staff based on the applicant's past history with Arizona State Parks grant programs.

1. Administrative Performance

0 to 4 points

This category is for applicants who have had an open SLIF grant in the past 3 years.

Up to 2 points will be awarded based on the timely submission of quarterly reports.

Up to 2 points will be awarded based on completion of the project within the original (2 or 3-year) project period.

If the applicant has not had any SLIF grants in the past 3 years, all 4 points will be awarded.

2. Post-Completion Compliance

0 to 4 points

This category is for applicants who have a closed SLIF project in which the Term of Public Use is still active.

For facilities (real property) the Term of Public Use is 25 years; for acquired land it is 99 years.

Points will be awarded on a scale of 0-4 according to the participant's compliance with the post-completion self-certification process.

If the applicant does not have any projects that require compliance with the post-completion self-certification process, all 4 points will be awarded.

3. Workshop Attendance

0 or 2 points

All applicants are encouraged to attend an annual grant workshop. Applicants represented at a SLIF workshop for this grant cycle will receive 2 points. Workshop attendance will be verified by workshop sign-in sheets.